

## NASA SHARED SERVICES CENTER

# ***Small Business Innovation Research and Small Business Technology Transfer Programs Transition Plan***

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## **1.0 INTRODUCTION**

### **1.1 Innovative Partnerships Program**

The National Aeronautics and Space Administration's (NASA) Innovative Partnerships Program (IPP) fosters technology partnerships, commercialization and innovation in support of NASA's overall mission and national priorities. The Mission of the IPP is to provide leveraged technology for NASA's Mission Directorates, Programs and Projects through investments and technology partnerships with industry, academia, government agencies and national laboratories. Two of the IPP programs are the NASA Small Business Innovation Research and the NASA Small Business Technology Transfer programs (SBIR/STTR).

### **1.2 SBIR/STTR Authorization**

The NASA SBIR and STTR programs fund the research, development, and demonstration of innovative technologies that fulfill NASA needs as described in the annual Solicitations and have significant potential for successful commercialization. Commercialization encompasses the transition of technology into products and services for NASA mission programs, other Government agencies and non-Government markets. Technological innovation – the overall focus of the NASA SBIR and STTR programs – is vital to the performance of the NASA mission and to the Nation's prosperity and security.

The SBIR and STTR programs were established by public law, as amended, in 1982 (P.L. 106-554) and 1992 (P.L. 107-50). Both programs seek to increase opportunities for Small Business Concerns (SBC) to participate in Government Research and Development (R&D), to improve overall United States competitiveness, and to increase national employment. STTR has the additional intent of developing collaboration between SBCs and non-profit Research Institutes (RI).

Federal agencies with extramural R&D budgets exceeding \$100 million are required to administer an SBIR program. Agencies with extramural R&D budgets exceeding \$1 billion are also required to administer an STTR program. Each agency administers its own program within directives issued by the Small Business Administration (SBA). The law has established SBIR funding at 2.5% and STTR funding at 0.3% of each participating agency's extramural R&D budget. NASA's annual funding for SBIR and STTR programs is approximately \$120 million per year.

The statutory purposes of the SBIR/STTR programs are to stimulate technological innovation in the private sector; to strengthen the role of SBCs in meeting Federal research and development needs; to increase the commercial application of these research results; and to encourage participation of socially and economically disadvantaged persons and women-owned small businesses.

In addition to the statutes governing the SBIR and STTR programs, Executive Order 13329 (issued February 24, 2004) directs Federal agencies administering the SBIR and STTR programs to advance technological innovation in manufacturing through related



R&D. Accordingly, the NASA SBIR and STTR Solicitations include agency needs related to manufacturing in compliance with this Executive Order.

The structure of the SBIR and STTR programs reflects Congressional understanding that the processes of innovation and new product development have a high degree of technical and financial risk. Because of the potential risks, each program has three phases:

Phase 1 – is a competitive process that provides the opportunity to establish the feasibility and technical merit of a proposed innovation.

Phase 2 – is a competitive process under which the most promising of the Phase 1 projects are selected for continued funding. The selection is based upon the project's scientific and technical merit, expected value and commercial potential. During Phase 2, the major Research and Development effort is completed.

Phase 3 - is the selection of the best Phase 2 projects for assimilation into regular federal agency programs and/or marketing to other government agencies or into the commercial marketplace.

### **1.3 SBIR/STTR Programs**

NASA is one of eleven (11) federal agencies with SBIR/STTR programs; each agency is responsible for its' SBIR/STTR program activities. Each agency develops its own processes and procedures for these programs under the oversight of the SBA.

The NASA SBIR/STTR programs provide an opportunity for small, high technology companies to participate in Federal Government sponsored R&D efforts in key technology areas. Currently, NASA SBIR/STTR program responsibilities are dispersed throughout the ten NASA Centers with each Center managing its' SBIR/STTR activities. SBIR/STTR Program Management services are the responsibility of the Program Management Office (PMO) and the Program Executive from Goddard Space Flight Center (GSFC) and NASA Headquarters (HQ), respectively.

### **1.4 NASA Shared Services Center**

NASA has created the NASA Shared Services Center (NSSC) to perform a variety of transactional and administrative activities currently accomplished at each NASA Center. The activities assigned to NSSC are in the functional areas of Financial Management, Human Resources and Procurement. NSSC consolidates targeted activities into a shared services organization that reports to NASA HQ. NSSC is designed to maximize service delivery and improve data quality by utilizing standardized processes and leveraging skills and investments through economies of scale. The NSSC effort relieves the NASA Centers of various administrative functions, thereby allowing the Centers to focus more time on core work and strategic initiatives. Each NASA Center has designated a resident NSSC Liaison to facilitate and coordinate services provided by NSSC to that Center.

Two of the procurement functions that have been assigned to the NSSC Procurement Division are processing specific SBIR and STTR actions. As previously stated, the SBIR/STTR program is divided into three separate phases. The SBIR/STTR

responsibilities of the NSSC are the award, administration and close-out of Phase 1 and Phase 2 SBIR/STTR Contracts. Phase 3 SBIR/STTR Contracts are not included as part of the NSSC effort, but NSSC, on behalf of NASA, will define procurement policy responsibilities for all phases of the SBIR/STTR Programs.

The NASA Procurement Policy Manager (PPM) role will be filled by the NSSC. The primary role of the PPM is to assure that uniform and consistent procurement policies are applied to the SBIR/STTR programs. The responsibilities of the PPM include, but are not limited to, advising the Program Executive, Program Manager, and Field Center Program Manager on specific SBIR/STTR procurement issues as the need arises, establishing SBIR/STTR procurement policy and guidance for all three phases of the program for NASA, communicating procurement policy changes, maintaining contacts with industry on matters of policy and procurement, constructing model contracts, establishing electronic procurement systems and communicating current information about procurement legislation to the SBIR/STTR program personnel.

### **1.5 Document Purpose**

This document outlines the transition strategy, scope, risks, assumptions, project schedule and communication plan to accomplish the successful transition of SBIR/STTR procurement responsibilities from NASA Centers to the NSSC.

## **2.0 SCOPE/MISSION**

The NSSC Procurement Division will be responsible for preparing, negotiating, awarding, and administering Phase 1 and Phase 2 SBIR/STTR Contracts with successful offerors, as identified by the PMO. Part of the mission of the NSSC's Procurement Division is to support NASA initiatives that foster technology partnerships, commercialization and innovation in support of NASA's overall mission and national priorities. The NSSC Procurement Division will assist NASA by providing required support to NASA's SBIR/STTR programs. It will :

1. Implement the transition of responsibilities and work to effectively support the management and operation of the SBIR/STTR programs;
2. Minimize costs associated with the transition while enabling the achievement of cost efficiencies and performance improvements where feasible and affordable;
3. Process all contractual actions in full compliance with the FAR, NFS, NASA rules, regulations and policies; and
4. Work collaboratively with the PMO, each NASA Center and SBIR/STTR contractors to meet service need via the Customer Contact Center.

Consistent with the mission and objectives of NASA's Integrated Enterprise Management Program (IEMP), the NSSC Procurement Division will focus on improving management systems and processes. IEMP is an agency-wide transformation of NASA's business systems and processes to improve NASA's fiscal and management accountability. To accomplish this mission, IEMP has identified specific business objectives. The IEMP objectives that the NSSC Procurement Division will focus on are provided below:

- Provide timely, consistent, and reliable information for management decisions;
- Improve NASA's accountability and enable full cost management;
- Achieve efficiencies and operate effectively; and
- Exchange information with customers and stakeholders.

The core methodology that NSSC will employ to meet this commitment are discussed in-depth in the *NSSC's SBIR/STTR Service Delivery Guide* (SDG) to be issued prior to the initial transition of SBIR/STTR duties from the Centers to the NSSC. The SDG is targeted for distribution August 1, 2006. On an ongoing basis, the SBIR/STTR SDG and any modifications thereto, can be discussed and reviewed at the scheduled SBIR/STTR Program Managers Meeting between NSSC SBIR/STTR senior staff and the PMO and Center Offices. A review, if necessary, will ensure the SDG is updated to meet changing conditions and requirements.

## **2.1 Schedule**

The specific schedule for the transition of SBIR/STTR award, administration and financial duties from the Centers to the NSSC is provided below:

The transition of SBIR and STTR award and administration from the individual Centers to the NSSC will be accomplished in two Waves.

In October 2006, NSSC will transition responsibility for the award and administration of SBIR and STTR Phase 1 and associated follow-on Phase 2 Contracts for the NASA Wave One Centers, specifically, the Ames Research Center (ARC), Dryden Flight Research Center (DFRC), Goddard Space Flight Center/Wallops (GSFC), and Stennis Space Center (SSC).

On October 1, 2007, NSSC will transition responsibility for the award and administration of SBIR and STTR Phase 1 and associated follow-on Phase 2 Contracts for the Wave Two Centers, specifically, Marshall Space Flight Center (MSFC), Glenn Research Center (GRC), Johnson Space Center/White Sands (JSC), Kennedy Space Center (KSC) and Langley Research Center (LaRC), Jet Propulsion Laboratory (JPL). Note: JPL does not have any STTRs.

In Fiscal Year 2008, NSSC will transition responsibility for payment of invoices (Accounts Payable) in accordance with the established NSSC Financial Management Transition Schedule (FMTS). The FMTS will consist of three Waves. Wave One Centers MSFC, GRC, JSC, SSC and JPL will transition beginning November 2007. Wave Two Centers KSC, LaRC, ARC and DFRC will transition beginning January 2008. Wave Three Centers GSFC and HQ will transition beginning March 2008.

Based on the above schedule, Centers will continue to coordinate and resolve contract financial issues with their respective Center Finance interfaces or NSSC Finance interfaces for all SBIR STTR awards made by their Center Procurement Offices.

The NSSC SBIR STTR Procurement Office will be responsible for assisting Centers and resolving financial issues for any Phase 1 or Phase 2 Contracts awarded by the NSSC. They will coordinate with the FCPM and contract Center Finance Offices or NSSC Finance interface, as appropriate. The NSSC Finance Office will not make invoice payments until FY08 according to their schedule regardless of who makes the award. Center Finance Offices retain payment responsibility until their finance transition is complete.

*SBIR/STTR*

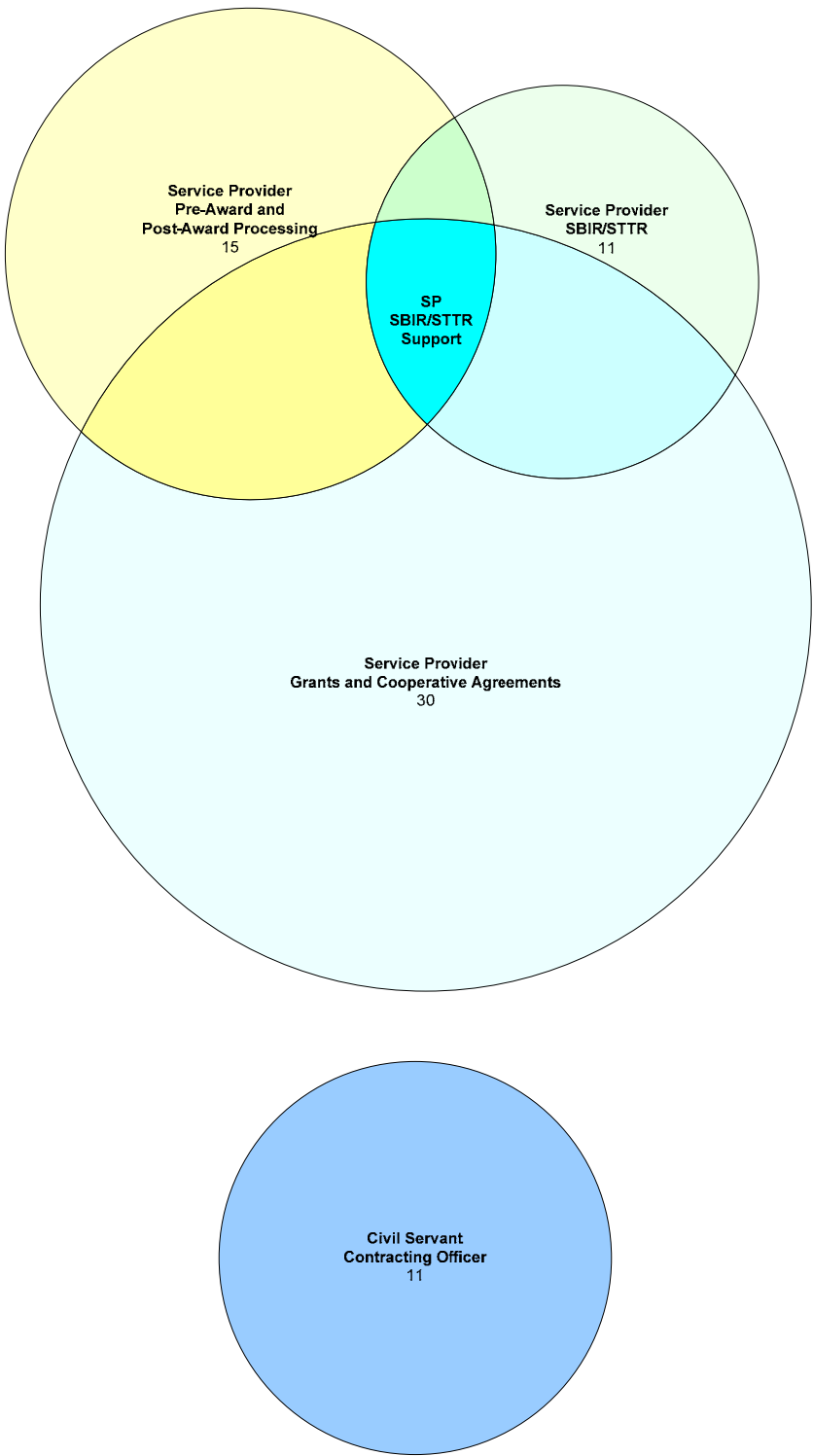
	<b>Phase 1</b>		<b>Phase 2</b>		<b>Financial Management Transition</b>		
	<i>Oct-06</i>	<i>Oct-07</i>	<i>Oct-07</i>	<i>Oct-08</i>	<i>Nov-07</i>	<i>Jan-08</i>	<i>Mar-08</i>
<i>ARC</i>	<i>X</i>		<i>X</i>			<i>X</i>	
<i>DFRC</i>	<i>X</i>		<i>X</i>			<i>X</i>	
<i>GSFC</i>	<i>X</i>		<i>X</i>				<i>X</i>
<i>SSC</i>	<i>X</i>		<i>X</i>		<i>X</i>		
<i>GRC</i>		<i>X</i>		<i>X</i>	<i>X</i>		
<i>NMO/JPL</i>		<i>X</i>		<i>X</i>	<i>X</i>		
<i>JSC</i>		<i>X</i>		<i>X</i>	<i>X</i>		
<i>KSC</i>		<i>X</i>		<i>X</i>		<i>X</i>	
<i>LaRC</i>		<i>X</i>		<i>X</i>		<i>X</i>	
<i>MSFC</i>		<i>X</i>		<i>X</i>	<i>X</i>		
<i>HQ</i>							<i>X</i>

Centers will retain responsibility for awards, administration and closeout for Non-NSSC awards.

2.2 Organization and Staffing

The current organization is presented in the chart below:

NSSC Available Staffing to Accomplish SBIR/STTR Activities



The contractor staffing levels proposed above were determined in response to the workload data provided by the Centers in the NSSC Final RFP Attachment J-3 TE-3 issued by NASA.

The NSSC SBIR/STTR Service Provider (SP) staffing is composed of two components 1) a core staff and 2) floating staff made up of the SBIR/STTR, Grants and Cooperative Agreements, and Pre-Award and Post-Award Processing support. The staffing structure responds to the reality that the SBIR/STTR procurement workload significantly varies based on the program schedule (i.e, awards in a short period of time).

In order to achieve maximum efficiency and economy of personnel, NSSC's Service Provider Procurement Division combines matrix and functional attributes in its organization. A Procurement Manager is responsible for all procurement transactions and activities. Two "Functional Leads" report to the manager. One Functional Lead is primarily responsible for SBIR/STTR, Procurement Processing and Administrative Services and a second for Grants and Cooperative Agreements; however, each position functions as a back-up position for the other.

Eleven full-time employee (FTE) positions have been identified to support the SBIR/STTR activity: six (6) Procurement Support Specialists and five (5) Procurement Support Assistants.

During periods of peak volume, personnel assigned to Grants and Cooperative Agreements (30) or Processing and Administrative Services (15) may be temporarily reassigned to the SBIR/STTR team. During periods of reduced SBIR/STTR activity, personnel assigned to SBIR/STTR will support Grants & Cooperative Agreement activities.

The Civil Servant staffing has eleven full-time employee positions identified to support the SBIR/STTR and Grants and Cooperative Agreements: (1) Branch Chief (2) Procurement Analyst Leads (8) Contract Specialists. This workforce is responsible for successfully completing the Agency's SBIR/STTR and Grants and Cooperative Agreement workload requirements in accordance with the established schedules.

The NSSC is concerned with performance and the best approach to meeting the needs of the SBIR/STTR program. NSSC will continue to focus on results rather than the number of staff performing the work. NSSC believes that it has established a service model that provides the maximum flexibility for NSSC when committing resources to meet the needs of the SBIR/STTR program. The NSSC will make adjustments in personnel and resources, if necessary, as NSSC gains experience in this program. It is important to note that NSSC recognizes that the SBIR/STTR workload will have peaks and valleys and NSSC has a plan to provide continuity in relationships to support the PMO, the NASA Centers and the contractors.

NSSC projects cost for supporting certain activities and services are based upon discussions with current process owners, Centers. This projected cost is then divided by the total utilization expected for that service across the Agency to determine the unit cost

for the service. For SBIR/STTR, this utilization is measured on the number of awards completed within a prescribed period (normally the fiscal year). The unit cost is then multiplied by the projected utilization by Center to determine the fiscal year chargeback to the Center. The projected utilization is determined by the Center during data calls in support of the Agency budget formulation process. The fiscal year chargeback is collected in advance from the Centers throughout the year of execution. During year-end activities, the NSSC determines the actual utilization and cost by Center and makes corresponding adjustments in the following year. Each Center agreed to this approach in the Service Level Agreement.

### **2.3 Training and Qualified Personnel**

NSSC Service Provider (SP) procurement personnel complete web-based and online training when hired. Personnel must complete appropriate Defense Acquisition University (DAU) on-line contracting courses. Web-based training courses in IT Security, NASA's business systems, SAP, protection of intellectual property and acquisition and others are taken through SATERN (System for Administration, Training and Educational Resources for NASA). Appendix C is a complete list of courses service providers complete within a year of hire.

The NSSC SBIR/STTR training plan includes presenting an overview of NASA's SBIR/STTR program with the purpose of communicating the program's goal (innovation), commitment to integrity in contracting, master program schedule and the shared services center's supportive role(s). Instructor-led training in the use of the SBIR/STTR EHBs is planned in August and November 2006, and on-going EHB training will be provided as necessary. In anticipation of the implementation of Contract Management Module (CMM), service provider personnel will complete instructor-led training.

### **2.4 Communications Strategy**

The SBIR/STTR communications strategy is provided in the previously submitted *SBIR/STTR Communication Plan*. The Communication Plan provides for various methods and strategies for communication between NSSC and the NASA PMO and NASA Centers. The methods will include face-to-face meetings, a Quick Reference Guide (QRG), the SDG, this Transition Plan, and an Operational Readiness Review Presentation. Teleconferences and video conferences will also be used in this effort. Currently, NSSC participates in a weekly SBIR/STTR teleconference with the PMO. NSSC also participates in monthly video conference and the SBIR Program Meeting with the PMO and Center Program Managers. The strategies for contact with SBIR/STTR Contractors and SBIR/STTR community, including Research Institutions will be through the Customer Contact Center, NSSC SBIR/STTR e-mail box, as required.

### **2.5 SBIR/ STTR Project Plan**

The SBIR/STTR Project Plan is attached at Appendix E. The Project Plan will be updated on a regular basis to ensure information is current and properly recorded, such as; completion dates, project additions, deletions, and other required information.

## 2.6 Information Technology

NASA utilizes a paperless electronic process for management of the SBIR/STTR programs. This management approach requires that a proposing firm have Internet access and an e-mail address. Communication between NASA and the firm use a combination of the EHBs and e-mail. The NSSC will utilize the same requirements currently used by NASA to process SBIR/STTR actions, including utilization of the EHBs. The SBIR/STTR Program Management Office (PMO) maintains a web site providing program information and access to the EHBs. The NSSC will develop and maintain a web site complementary to the SBIR/STTR PMO web site and linked to the PMO web site that will be accessible to NASA customers. The NSSC web site will provide more detailed information on SBIR/STTR Contracts from pre-award activities through close-out. Schedule information will be provided and include milestones from receipt of technical packages through award of contracts and status of post-award activities. NSSC will ensure that the NASA PMO and Centers have access to information regarding funding. The process for funding review by NASA officials is provided in the *NSSC SBIR/STTR Service Delivery Guide*. The web site will also provide contract traceability from Phase 1 Contracts and Phase 2 Contracts to support Phase 3 awards at their respective field Centers. To the maximum extent feasible, NSSC will create, process and store documentation in electronic form. Three IT applications and one electronic business tool will be the primary systems used by NSSC to complete the various SBIR/STTR transactions. These include the *Contract Management Module* (CMM)/SAP, *REMEDY*, *Tech Doc* and the EHBs.

The EHBs are the primary access point for all SBIR/STTR customers. SBIR/STTR Contracts and supporting documentation will be processed using EHBs. The EHBs enable any customer to independently access, review, submit and download SBIR/STTR information.

CMM will be used by NSSC to develop Phase 1 and Phase 2 Contracts and related documentation. Upon completion of document generation in CMM, the NSSC will upload the data into the EHBs. Because CMM is not currently released, NSSC will employ the SAP/IEMP application until CMM release and completion of training for NSSC personnel.

REMEDY will be used to record customer contacts as well as to track processing of SBIR/STTR awards. NSSC is currently investigating whether proposals in the EHB can be uploaded to REMEDY and Tech Doc. This action will establish a REMEDY ticket; the REMEDY ticket will start the document tracking history. REMEDY will record each SBIR/STTR step as it is initiated, modified, or completed. This process will provide a metric for both the file and project status. Evaluation of the REMEDY data will help identify problem areas, verify process flow and allow NSSC Procurement staff to measure results and adjust resources and procedures to correct any deficiencies.

Tech Doc is an automatic document control and storage system. When Contract has been executed the EHB 1098 Checklist will be electronically transmitted for storage to meet long-term records retention requirements. Included in the EHB 1098 Checklist will be the entire contract history including the Contract document.



EXISTING SYSTEMS/ TOOLS			
IT System Title	IT System Description	Access Requirements	IT System Interfaces
<b>CMM</b> (Contract Management System) [In Test]	Document generation system which generates contract documents, facilitates reporting, tracks lead-times and management information	User role at NSSC	SAP/IEMP
<b>REMEDY</b>	Supports NSSC Internal activities, metrics, etc.	User role for SP and CS	Yes
<b>TECH DOC</b>	References and resources database	User role at NSSC	Yes
<b>NASA SBIR/STTR Website</b> (Non-NSSC)	Official NASA SBIR/STTR web-site providing all necessary information and documents for the SBIR/STTR programs.	User role at NSSC	NAIS
<b>Global Logon</b>	Provides a single logon for each NAIS user	User role at NSSC	NAIS
<b>NAIS</b> (NASA Acquisition Internet Services)	Provides synopses, solicitations, award notices, acquisition forecasting, regulations, forms and small business assistance	User role at NSSC	None
<b>SAP/IEMP</b>	Integrated Enterprise Management Program (IEMP) for Procurement Request receipt, contract funding and payment processing	User role at NSSC	CMM FPDS-NG
<b>PPDS</b> (Past Performance Database System)	Automated system to collect performance data and provides Users immediate access to past performance data	User role at NSSC (CS)	NAIS

EXISTING SYSTEMS/ TOOLS			
IT System Title	IT System Description	Access Requirements	IT System Interfaces
<b>FPDS-NG</b> (Federal Procurement Data System –Next Generation)	Collects, develops, and disseminates data on all federal expenditures for supplies and services	User role at NSSC	NAIS CMM SAP
<b>NPMS</b> (NASA Procurement Management System Online Query)	On-line query based system for access to NASA database containing summary level data	User role at NSSC	None
<b>EHBs</b> (Electronic Handbooks)	System of electronically-supported business processes to manage SBIR/STTR programs and associated data	User role at NSSC	None

## 2.7 Processes and Procedures

The EHBs are the key element to the success of the NSSC SBIR/STTR effort. The EHBs will be used to coordinate and fuse NSSC's processes, procedures and IT applications into a system that meets the needs of all SBIR/STTR customers.

The responsibilities and actions of the SBIR/STTR PMO and Program Executive are the trigger for SBIR/STTR actions and activities by the NSSC. The PMO develops the solicitation documents and oversees the solicitation process. The PMO is responsible for overseeing proposal evaluations and assists the Program Executive with proposal selection. The Program Executive is the Source Selection Official (SSO) and the SSO signs the selection statement. When the SSO has made the selections and the list of selected offerors, selection statements, and notice of debriefing to unsuccessful offers, have been transmitted then the NSSC will begin the negotiation phase of the effort.

NSSC's processes and procedures for SBIR/STTR activities are described in the *Service Delivery Guide*. The Service Delivery Guide will be augmented by the SBIR/STTR job aids, process flows, IT applications, Transition Plan and model contract. Awards, administrative actions, communication, documentation, including document retention will be accomplished by NSSC in full compliance with federal procurement law, the Space Act, Federal Acquisition Regulations (FAR) [48 CFR Part 1-99], NASA FAR Supplement (48 CFR Part 18), NASA procurement policy directives and guidelines and other federal applicable policies and regulations. In addition to compliance with laws,

rules and regulations the NSSC's SBIR/STTR activities will focus on reliable financial management to track contract spending and reporting, sound contract management and quality assurance through effective quality control. A review of the Service Delivery Guide, and any proposed changes thereto will, at a minimum, be addressed at the SBIR/STTR Program Managers meeting as scheduled.

Regardless of focus all processes, procedures and actions performed by NSSC will be compliant with appropriate NASA rules, regulations, policies and procedures.

## **2.8 Records Management**

The EHBs will be the fundamental document source for the NSSC SBIR/STTR activities. Other IT applications will be used for various actions for this project but these applications will be used in support of the EHBs, long-term data storage or as an information portal.

## **2.9 Records Storage**

The NSSC Procurement Division will maintain a hard copy of required documentation until such time as the electronic document storage system has been approved. The electronic file for SBIR/STTR transactions will be stored in Tech Doc. The Tech Doc system has adequate space and back-up systems to maintain all documents in compliance with NASA Policy Directive (NPD) 1440.6G *NASA Records Management* and NASA Procedural Requirement (NPR) 1441.1D, as amended, *NASA Records Retention Schedule*.

NSSC has established a Document Management Office (DMO) as the primary recipient of electronic and hard-copy contract documents, correspondence, and communications. NSSC's records management system is based upon direct electronic transfer of documents to the maximum extent possible. Under normal circumstances, the DMO will electronically load the data received directly into Tech Doc. Documents received in hard-copy or facsimile will be scanned, labeled and transferred to Tech Doc by the DMO. The DMO will provide electronic notification to the appropriate personnel when a document has been received and transferred to Tech Doc. All documents, whether electronic or hard-copy, will be received, handled, protected and retained in compliance with NPD 1440.6G and NPR 1441.1D, as amended.

## **2.10 Customer Input**

Prior to modifying any procurement SBIR/STTR processes or procedures, comments will be sought from the NASA SBIR/STTR Program Executive, Program Management Office, SBIR/STTR Field Center Program Managers, COTRs, Field Center Property Managers, Procurement representatives, NSSC internal customers, and other as appropriate.

## **2.11 Lessons Learned**

The NSSC will maintain strong communications with NASA SBIR/STTR Program Management Executive, NASA Centers and the SBIR/STTR Program Management Office. NSSC will closely monitor allocation of funds to NASA Centers to assure timely

contract award. NSSC will develop and implement effective processes and procedures to perform the work.

Further, consistent with recommendations from the NASA Office of the Inspector General (OIG), NSSC will implement the Contract Management Module as soon as the module is available. Additionally, the NSSC is implementing quality assurance measures designed to assist both Contractors' and NASA Contracting Officers' with contract administration, technical oversight, deliverables, and invoice processing. Quality checks and processes will be discussed further in the NSSC SBIR/STTR Service Delivery Guide.

### **3.0 ASSUMPTIONS**

The SBIR/STTR Transition Plan was based on the following assumptions:

- The PMO continues to be responsible for providing and maintaining the EHBs.
- The PMO continues to be responsible for development and management of the solicitation, evaluation and selection process for the SBIR/STTR program.
- The NSSC will be added to the EHBs as a NASA Center and access to the most current version of the EHBs will be available to NSSC SBIR/STTR staff.
- The NSSC will appoint a SBIR/STTR Transition Lead responsible for all aspects of the transition of functions to the NSSC, to include but not be limited to, planning, coordinating, communicating, staffing, training, operational readiness review and scheduling.
- Necessary NSSC procurement staff would be hired and trained in time for the transition of SBIR/STTR responsibilities from the NASA Centers to the NSSC.
- NSSC will provide appropriate Information Technology (IT) and ensure connectivity to all required systems (e.g., Tech Doc).
- Appropriate IT interfaces between vital systems would be operational and fully functional.
- In accordance with the Wave schedules, only new Phase 1 SBIR/STTR Contracts and associated follow-on Contracts will be processed by the NSSC. NASA Centers will retain responsibility for previously awarded SBIR/STTR Contracts.
- Existing SBIR/STTR Contract files will remain at the respective NASA Centers where the Contract was awarded.
- NSSC will award and administer Phase 1 and Phase 2 SBIR/STTR Contracts only. Responsibility for Phase 3 of the SBIR/STTR process will remain with the respective NASA Centers.

- Each Center will retain program/project, budgeting, safety, property, costing and resources responsibilities including writing Purchase Requests associated with all SBIR/STTR Contracts
- Each Center will retain invoice processing and account payables functions until transition to NSSC in Fiscal Year 2008. The transition of accounts payables will be completed in compliance with the transition wave schedule provided above.

#### **4.0 RECOMMENDED TRANSITION PLAN**

The transition plan assumes certain roles and responsibilities will transition to NSSC while others will be retained by the Program Executive, PMO and NASA Centers.

##### **4.1 NASA Roles and Responsibilities**

Current NASA roles and responsibilities critical to the success of the SBIR/STTR programs are provided below:

##### **NASA Roles**

- a. Program Executive. The SBIR/STTR Program Executive, designated by The Office of the NASA Associate Administrator, is responsible for these programs. The Program Executive's role includes strategic oversight responsibility, program assessment, and selection authority for these programs including insuring proper and efficient conduct of the source selection process. The Program Executive is the Source Selection Official for both the SBIR and the STTR Programs.
- b. Program Management Office (PMO):
  - 1) Program Manager/Deputy Program Manager. The primary role and responsibility of the Program Manager is to provide Agency-wide management for the programs. The Program Manager is responsible for executing programs consistent with the policy direction provided by the SBIR/STTR Program Executive and consistent with requirements as defined in NASA Policy Guidelines NPG 7120.5A, NASA Program and Project Management Processes and Requirements.
  - 2) Technology Manager - The primary role of the SBIR/STTR Technology Manager is to oversee the development of the annual SBIR and STTR solicitations and to assure that identified Mission Directorate technology needs are uniquely and adequately reflected in a coherent document.
  - 3) Management Analyst - The primary role of the SBIR/STTR Management Analyst is to provide analysis and documentation of the SBIR/STTR programs.
- c. Procurement Manager. The Office of Procurement designates an SBIR/STTR Procurement Policy Manager. The primary role is to assure that uniform and consistent procurement policies are applied to the SBIR/STTR program across the

ten NASA installations. This role is being assumed by the NSSC in October 2006.

- d. SBIR/STTR Field Center Program Managers (FCPM). Each Field Center designates a FCPM. The role of the FCPM is to manage and administer the SBIR/STTR programs at a Center. This includes serving as the primary Center advocate for the programs, and coordinating the center SBIR/STTR activities with the public, the PMO, and the Mission Directorates.
- e. Mission Directorate Representative (MDR). Each Mission Directorate designates a lead individual, or MDR, to represent the Mission Directorate relative to all SBIR and STTR issues. The MDR's primary role is to assure timely, coordinated Mission Directorate responses in support of SBIR/STTR solicitation activities, and to provide oversight guidance to assure that inputs and recommendations to solicitations reflect Mission Directorate priority technology needs. The MDRs are encouraged to work closely with the FCPMs as well as technology specialists at the Centers.
- f. SBIR/STTR Topic Managers – The MDRs, in conjunction with FCPMs, may designate SBIR/STTR Topic Managers. The role of the Topic Manager is to work in coordination with the Mission Directorate Program and Project Offices to ensure that Topics focus support and enhance technology needs. In addition, the Topic Manager provides oversight and management of inter-center high priority research topics, and coordination at subtopic levels.
- g. SBIR/STTR Subtopic Managers - FCPMs, MDRs, and Topic Managers together identify Subtopic Managers to support and manage the subtopics at each field center. The role of the Subtopic Manager is to submit and manage high priority research subtopics. The Subtopic Manager should also act as the champion for his/her subtopic both at the Center(s) and within their respective Mission Directorate(s).

### **NASA Responsibilities**

- a. The SBIR/STTR Program Executive is responsible for the following:
  - 1) Developing and approving NASA policies, strategic plans, and assessment procedures for the SBIR and STTR programs;
  - 2) serving as the primary interface with other NASA HQ offices for policy, planning, and evaluation;
  - 3) obtaining Code G concurrence on procedures or process changes;
  - 4) responding to Administrator, Congressional, White House and other inquiries;
  - 5) serving as the primary interface with other agencies and the SBA, including understanding their policies and planning for possible NASA actions, including assessment, reporting, and analysis;
  - 6) approving SBIR/STTR program budgets;
  - 7) approving all solicitations, reviewing source selection processes, evaluation criteria and guidance, and policy implementation for compliance with controlling regulations
  - 8) making all SBIR/STTR Award selections.

b. The SBIR/STTR Program Manager is responsible for the following:

- 1) Serving as primary interface with FCPMs for program execution and management;
- 2) executing and managing the SBIR/ STTR programs including solicitations, reviews and selection process of Phase 1 and Phase 2;
- 3) implementing improvements in the SBIR/STTR processes;
- 4) providing peer review of the SBIR /STTR processes;
- 5) managing the SBIR/STTR support contract;
- 6) collecting and maintaining database and external and internal program metrics;
- 7) providing outreach and marketing activities;
- 8) allocating the SBIR/STTR budget;
- 9) administering program policy compliance;
- 10) developing the SBIR/ STTR program schedules;
- 11) developing and maintaining the SBIR/STTR homepage; and
- 12) developing and maintaining the SBIR/STTR EHBs.

c. The SBIR/STTR Procurement Policy Manager is responsible for the following:

- 1) Establishing SBIR/STTR procurement policy and guidance for NASA;
- 2) communicating procurement policy and changes to centers;
- 3) maintaining contacts with industry on matters of policy & procurement;
- 4) constructing model contracts and establishing electronic procurement systems; and
- 5) applying knowledge of procurement legislation to the SBIR/STTR programs.
- 6) NSSC will serve as the NASA Procurement Policy Manager (PPM) for all SBIR/STTR contract issues starting October 2006. The current PPM will be available for consultation on all SBIR/STTR procurement issues until October 1, 2007.

d. FCPMs are responsible for the following:

- 1) Serving as the primary point of contact for the SBIR/STTR programs at their Center;
- 2) serving as the primary management source for the Center's SBIR/STTR programs; including facilitating Mission Directorate ranking lists;
- 3) serving as primary advocate for SBIR/STTR programs at their Center;
- 4) coordinating and advocating Phase 3 activities; and
- 5) Implementing and distributing program policies.

e. The MDRs are responsible for the following:

- 1) Interfacing with Mission Directorate management regarding the Topics and Subtopics to be incorporated in the SBIR/STTR solicitations, ensuring that both near term and far term interests of the Mission Directorate and Agency are met;
- 2) coordinating Agency strategic planning outcomes with the Topic/Subtopic development activities;
- 3) coordinating with FCPMs regarding the development of topics and subtopics for inclusion into solicitations;

- 4) providing interface with Mission Directorate core technology development organizations;
  - 5) participating in the field center proposal ranking process;
  - 6) coordinating with FCPMs, Topic Managers and Subtopic Managers to facilitate Phase 3 implementation through advocating Phase 2 products; and
  - 7) supporting the transition of SBIR/STTR-developed technology to targeted mission programs.
- f. SBIR/STTR Topic Managers are responsible for the following:
- 1) Providing technology topic descriptions for solicitations;
  - 2) supporting identification and coordination of subtopics and subtopic managers for their topic;
  - 3) serving as internal advocate to program offices;
  - 4) supporting ranking process for all proposals in their topic; and
  - 5) supporting technology infusion planning for resulting Phase 2 contracts.
- g. SBIR/STTR Subtopic Managers are responsible for the following:
- 1) Providing subtopic descriptions for solicitations;
  - 2) coordinating participating Center involvement in the subtopic;
  - 3) coordinating the evaluation and ranking of all proposals in their subtopic;
  - 4) supporting ranking process for all proposals in their subtopic; and
  - 5) supporting technology infusion planning for resulting Phase 2 contracts.

## **4.2 NSSC Responsibilities**

NSSC will assume general administrative duties for SBIR/STTR Contracts as awarded. The administrative duties shall include, but not be limited to, receive, reconcile, record, process, input, maintain and retain all documents necessary to properly detail and administer the official contract file from pre-award through close-out.

### **4.2.1. NSSC Contractor Service Provider (SP)**

- Support the study and analysis of the SBIR/STTR processes;
- develop and maintain a complementary SBIR/STTR website;
- provide administrative support to the EHBs;
- conduct SBIR/STTR Fact Finding & Analysis;
- support SBIR/STTR Phase 2 debriefings;
- SBIR/STTR Contract Compliance and Fund Monitoring;
- contract/order preparation and documentation.

### **4.2.2. NSSC Civil Servants (CS)**

- Supervise and monitor activities for SBIR/STTR Procurements;
- Administer policy changes and updates and liaise with SBIR/STTR program officials, NASA Centers, SBIR/STTR Field Offices, and other as required;
- Review and award SBIR/STTR Contracts;



- Included in the NSSC CS Personnel is the NASA Procurement Policy Manager (PPM).
- NSSC will serve as the NASA Procurement Policy Manager (PPM) for all SBIR/STTR contract issues starting October 2006.

Pending the CMM roll-out and training, NSSC will establish internal procedures that will govern SBIR/STTR actions by NSSC.

#### **4.3 PMO Responsibilities**

The Program Management Office (PMO) will continue to serve as NASA's lead office for all issues associated with the SBIR/STTR programs.

The PMO will continue to provide and maintain the EHBs.

The PMO will continue to develop SBIR/STTR solicitations and manage the solicitation process for Phase 1 and Phase 2 SBIR/STTRs.

The PMO will retain proposal receipt and in-processing responsibilities for SBIR/STTRs.

The PMO will oversee the proposal evaluation processes.

The PMO will work with the Source Selection Official in the selection of awardees of SBIR/STTR Contracts and provide appropriate notifications.

#### **4.4 Center Responsibilities**

Each Center will retain existing SBIR/STTR Contracts Administration through close-out. That is, no active SBIR/STTR Contracts will be transferred to NSSC.

Each Center will award and administer Phase 2 SBIR/STTR Contracts resulting from existing Phase 1 SBIR/STTR Contracts previously awarded by that Center.

Each Center will retain the responsibility for awarding and administering Phase 3 SBIR/STTR Contracts.

Each Center will retain program/project, budgeting, safety, property, costing and resources responsibilities including writing Purchase Requests associated with all SBIR/STTR Contracts

Each Center will retain invoice processing and account payables functions until transition to NSSC in Fiscal Year 2008. The transition of accounts payables will be completed in compliance with the transition wave schedule provided above.

### **5.0 CHECKLISTS**

Checklists to facilitate processing SBIR/STTR transactions will be developed. The checklists will detail requirements, methods and actions necessary to perform the work in compliance with NASA's SBIR/STTR programs. The checklists will cover various subjects including proper file documentation, contract provision usage, EHB requirements and contract administration activities of the EHBs, and other actions.

## **6.0 QUICK REFERENCE GUIDE**

NSSC will produce and post to the respective NSSC's web sites two QRGs. The QRGs will include contact and other information in a brief and easy to use format. The purpose of the QRGs is to provide a document that will contain general information on the NSSC and the transition of NASA's SBIR/STTR program to NSSC. The first QRG will be intended for the NASA Centers and NSSC internal Users. The second QRG will be intended for the SBIR/STTR community outside of NASA and NSSC, such as, current SBIR/STTR contractors, SBCs, and other interested parties. The development of future QRG topics will be determined as the need arises.

## **7.0 TECHNICAL**

NSSC Procurement Services (Service Provider) and Contracting Officers recognize the importance of communicating and coordinating with Technical Representatives to achieve SBIR/STTR program goals. When awards are announced and NSSC accesses proposal files through the EHB, NSSC Procurement will request Field Center Program Offices to recommend Contracting Officer Technical Representatives (COTRs) and COTR-Alternate candidates and enter that data into the EHB. After award, SBIRs will be administered by NSSC Service Provider processing group. Contract deliverables and due dates will be entered in the EHB as well as NSSC's work tracking application, Remedy. This group will alert awardees and COTRs of approaching due dates. When deliverables are received, NSSC Procurement Services will seek COTR approval. Updated performance data will be entered in the EHB.

## **8.0 CUSTOMER CONTACT CENTER**

The NSSC CCC will be a primary point of contact for its SBIR/STTR customers. Inquires received by the CCC are designated Level One (L1), Two (L2), or Three (L3). Each contact received by the CCC will initially be assigned as a Level "One" case. The CCC will open a REMEDY ticket for all inquiries and undertake necessary actions to provide an answer to the inquiry. Any question that cannot be resolved by the CCC shall be routed to Level Two which is the Procurement Office SP. Level Three inquiries include all those requiring a response from the Contracting Officer (CS). Inquires regarding specific SBIR or STTR Agreements will be routed to the Level Two or Level Three contact assigned to that specific contract. More information on responsibility for the inquiry response will be included in the SBIR/STTR SDG.

The NSSC CCC can be reached by telephone, facsimile or electronic mail as provided below:

Email: [nssc-contactCenter@nasa.gov](mailto:nssc-contactCenter@nasa.gov)

Fax: 1-866-779-6772

Telephone: 1-877-NSSC123 (or 1-877-677-2123)

NSSC Procurement will provide to the CCC a listing of civil service and service provider procurement personnel identifying the activities for which each person is responsible. NSSC Procurement will furnish the CCC a list of URL's, web sites, other pertinent information and Frequently Asked Questions to assist in responding to Level One customer inquiries. Further, NSSC Procurement has designated facilitators and back-up personnel to coordinate with the CCC to ensure the on-going flow of communications between the NSSC Procurement and the CCC.

**9.0 RISKS**

Description of Risk	Probability	Consequence	Risk	Mitigation Strategy
Delay of implementation of the Contract Management Module (CMM)	4	2	L	Established software and processes in place (EHB, SAP and TechDoc), Manual Contract Templates
Training	3	2	L	Scheduled instructor-led training by Karin Huth, "Sandbox" version of EHBs, EHBs instructor-led training (REI)
Staffing	1	2	L	Support by Pre-Award and Post-Award, and Grants and Cooperative Contracts teams
Inclement Weather (Hurricane Season ends December 1 <sup>st</sup> )	2	2	L	Continuation of Operations Plan (COOP)
IT Systems	1	2	L	EHBs, SAP and TechDoc are established applications
Misuse of or unauthorized disclosure of proprietary data	1	4	L	Contract contains appropriate terms and conditions. All NSSC employees have been trained and have signed non-disclosure statements.
Financial Management (PR not received from Centers on time)	3	4	M	Defined SAP financial process and establishing advance strategy plans

Risk

Probability	5	L	L	M	H	H
	4	L	L	M	H	H
	3	L	L	M	M	M
	2	L	L	L	M	M
	1	L	L	L	L	L
		1	2	3	4	5
		Consequence				

Consequence:

1. Minimal or no impact.

2. Acceptable impact with no change in approach.

3. Acceptable impacts with work around.

4. Major impacts in technical, cost, or schedule.

5. Total Work Stoppage.

Probability:

1. Very Low

2. Low

3. Medium

4. High

5. Very High

## APPENDIX A – ACRONYMS AND ABBREVIATIONS

ARC	Ames Research Center
CCC	Customer Contact Center
CMM	Contract Management Module
CS	Civil Servant
DFRC	Dryden Flight Research Center
DMO	Document Management Office
EHBs	Electronic Handbooks
GRC	Glenn Research Center
GSFC	Goddard Space Flight Center
JPL	Jet Propulsion Laboratory
JSC	Johnson Space Center
KSC	Kennedy Space Center
LaRC	Langley Research Center
MSFC	Marshall Space Flight Center
NSSC	NASA Shared Service Center
QRG	Quick Reference Guide
SBIR	Small Business Innovation Research
SDG	Service Delivery Guide
SP	Service Provider
SSC	Stennis Space Center
STTR	Small Business Technology Transfer

## APPENDIX B – RELEVANT POINTS OF CONTACT

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301-286-0077

## APPENDIX C – SERVICE PROVIDER’S TRAINING CURRICULUM

- |                 |   |
|-----------------|---|
| 1. NASA         | SBIR/STTR Program Overview                    |
| 2. BCF103       | Fundamentals of Business Financial Management |
| 3. CLC004       | Market Research                               |
| 4. CLC005       | Simplified Acquisition Procedure              |
| 5. CLC014       | Acquisition of Services                       |
| 6. CLC015       | Commercial Acquisition                        |
| 7. CON110       | Mission Support Planning                      |
| 8. CON111       | Mission Strategy Execution                    |
| 9. CON112       | Mission Performance Assessment                |
| 10. ECP-001-01  | Export Control Awareness                      |
| 11. ETH-001-06  | Ethic Training for NASA employees             |
| 12. FM-001-04   | Understanding Full Cost                       |
| 13. FM-002-01   | Case Study: Services Support Contract         |
| 14. FM-004-01   | NF533 Analysis                                |
| 15. ITS-003-05  | Basic IT Security for 2006                    |
| 16. JSC-001-03  | Property Responsibility and Accountability    |
| 17. KSC-003-03  | Export Control Program Basic                  |
| 18. NTTC-001-03 | Protection of Intellectual Property           |
| 19. NTTC-001-04 | New Technology Reporting                      |
| 20. OTH-004-03  | NASA Scientific and Technical Information     |



21. PROC-001-05	Purchase Card Program
22. ZIFM 1003	Bankcard Reports
23. ZIFM 1035	Bankcard Purchases and Desktop Receiving
24. ZIFM 1038	Requisitioning Basics
25. ZIFM 1039	Goods Receipt/Acceptance
26. ZIFM 1047	Core Financial SAP Starter Course
27. ZIFM 1054	PR Review Process
28. ZIFM 1055	Bankcard Review Process
29. ZIFM 1058	Core Financial Reporting Basics-BW
30. ZIFM 1059	Core Financial Cross-Functional Overview
31. ZIFM 1060	Core Financial Reporting Basics- SAPR/3
32. ZIFM 1075	PMI <sup>2</sup> Overview for Procurement Office Personnel
33. EHBs	Electronic Handbooks Training

## APPENDIX D – COMMUNICATION PLAN



## NSSC SBIR STTR Transition Communication Plan

**Overview:** The Communication Plan is a tool which is used for planning, tracking and monitoring project communications.

**Communicating Team:** SBIR STTR Transition Team

Communication (Title)	Stakeholder Group (Audience)	Objectives	Channel	Approver	Action	Timing
GRC Assistance/ GRC- Karin Huth	NSSC SBIR Procurement Office	Transition of Program Information to NSSC Personnel	Telecon and Face to Face	Nick Etheridge, Monique Sullivan, GRC Procurement Officer	Karin Huth, Vince Andres, Janet Kovac	As required
SBIR Weekly Telecon	SBIR STTR Program Managers, COTR(s), Program Administrators	Discussion of SBIR STTR Program issues	Telecon	Nick Etheridge, Monique Sullivan	Karin Huth, Vince Andres, Janet Kovac	Weekly, Tuesdays 8:30 AM CST
SBIR Monthly VITS *	SBIR STTR Program Managers, COTR(s), Program Administrators	Discussion of SBIR STTR Program issues	VITS	Nick Etheridge, Monique Sullivan	Karin Huth, Vince Andres, Janet Kovac	Monthly
SBIR Conference**	SBIR STTR Program Managers, COTR(s), Program Administrators, Mission Directorate Reps, Sub-topic Managers, Program Operation Managers, Center Liaison Reps	Identify and plan major areas to be transitioned to the NSSC	Face to Face	NSSC Transition Team, HQ Transition Review Team	Karin Huth, Vince Andres, Janet Kovac	May-06 December-06
SBIR STTR Transition Plan	SBIR STTR Program Managers, COTR(s), Program Administrators, Mission Directorate Reps, Sub-topic Managers, Program Operation Managers, Center Liaison Reps	Identify and plan major areas to be transitioned to the NSSC	Webpage, Email	NSSC Transition Team, HQ Transition Review Team	Karin Huth, Vince Andres, Janet Kovac	August 4, 2006
Communication Plan (Attachment to Transition Plan)	SBIR STTR Program Managers, COTR(s), Program Administrators, Center Liaison Reps, Mission Directorate Reps.	Maintain open communication with the stakeholders	VITS, Telecon, Webpage, Email	NSSC Transition Team, HQ Transition Review Team	Karin Huth, Vince Andres, Janet Kovac	June 23, 2006
Project Plan (Attachment to Transition Plan)	SBIR STTR Program Managers, COTR(s), Program Administrators, Center Liaison, Mission Directorate Reps.	Project timeline and resources to complete transition	Webpage, Email	NSSC Transition Team, HQ Transition Review Team	Karin Huth, Vince Andres, Janet Kovac	June 15, 2006
Transition Status Wave 1	GSFC, ARC DFRC and SSC (Wave 1 Centers)	Communicate with PR initiators, procurement personnel, et al, to discuss status of SBIR & STTR award and administration	Face to Face, VITS	Nick Etheridge, Monique Sullivan	Karin Huth, Vince Andres, Janet Kovac	June 6, 2006
SBIR STTR Process Customer Review	SBIR STTR Program Managers, COTR(s), Program Administrators, Mission Directorate Reps, Sub-topic Managers, Program Operation Managers, Center Liaison Reps	Release documents to NASA SBIR Managers for comment and review	Webpage, Email	Nick Etheridge, Monique Sullivan	Karin Huth, Vince Andres, Janet Kovac	May 15, 2006

Communication (Title)	Stakeholder Group (Audience)	Objectives	Channel	Approver	Action	Timing
SBIR STTR Service Delivery Guide	SBIR STTR Program Managers, COTR(s), Program Administrators, Procurement Managers, Center Liaison Reps	Narrative description of the NSSC process for SBIR STTR award and administration	Webpage, Email	NSSC Transition Team, HQ Transition Review Team	Karin Huth, Vince Andres, Janet Kovac	September 29, 2006
Quick Reference Guide	SBIR STTR Program Managers, COTR(s), Program Administrators, Procurement Managers, Center Liaison Reps	Process flow description of the NSSC procurement award and administration	Webpage, Email	NSSC Transition Team, HQ Transition Review Team	Karin Huth, Vince Andres, Janet Kovac	August 31, 2006
SBIR Operational Readiness Review	NASA ORR Team	Demonstrate NSSC's procurement processes and procedures for award and administration of Agency SBIR & STTR contracts	Face to Face	Carl Ray, Paul Mexcur, Jonathan Root	Karin Huth, Vince Andres, Janet Kovac	October 12, 2006
NSSC News Article about SBIR STTR procurement and contract administration transitioning to the NSSC	SBIR STTR Community	Explain the role of the NSSC in the SBIR STTR procurement process	News Article and posting to SBIR Program website ( <a href="http://sbir.nasa.gov">http://sbir.nasa.gov</a> )	Carl Ray, Paul Mexcur, Jonathan Root, Karin Huth	Vince Andres, Koby South	October 2, 2006
Instructional letter to accompany all new awards explaining the role of the NSSC in SBIR STTR awards	SBIR STTR Community	Explain methods to be utilized to accomplish the award and administration of SBIR Phase I and Phase II contracts	EHB	Carl Ray, Paul Mexcur, Jonathan Root, Karin Huth	Karin Huth, Vince Andres, Janet Kovac	Award Date
Transition Status Wave 2	GRC, JPL, JSC, KSC, LaRC, MSFC (Wave 2 Centers)	Communicate with PR initiators, procurement personnel, et al, to discuss status of SBIR & STTR award and administration	VITS	Nick Etheridge, Monique Sullivan, Carl Ray, Paul Mexcur, Jonathan Root, Karin Huth	Karin Huth, Vince Andres, Janet Kovac	June 6, 2007
Post Transition Review & Assessment Feedback	GSFC, ARC DFRC and SSC (Wave 1 Centers)	Communicate with PR initiators, procurement personnel, lessons learned.	VITS	Nick Etheridge, Monique Sullivan	Karin Huth, Vince Andres, Janet Kovac	June 6, 2006
Provide update to Procurement Officers	Procurement Officers Conference	Presentation	Face to Face	Nick Etheridge	Nick Etheridge	As Scheduled
NSSC Transition Team	Vince Andres, Karin Huth, Janet Kovac, Eric Johnsen, Monique Sullivan, Nick Etheridge					
HQ Transition Review Team, HQ Transition Review Team	Carl Ray, Paul Mexcur, Jonathan Root, Karin Huth, Barry Jacobs, Mike Talley, Sumidha Manu					
Transition Support Team	Program Managers, Program Administrators, Center Liaison Representatives, Sub-Topic Managers, COTR(s)					

Notes	Communication (Title)	Location	Participants	Dates
*	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	June 16, 2006
	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	July 17, 2006
	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	August 14, 2006
	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	September 20, 2006
	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	October 16, 2006
	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	November 17, 2006
	SBIR Monthly VITS	Conference Center, SSC	PMO and all NASA Centers	December 8, 2006
**	2006 Spring SBIR/STTR Conference	KY	PMO/NSSC/KSC/GRC	May 15-18, 2006
	Transition Meeting	HQ- GSFC	PMO/NSSC	June 7-9, 2006
	Transition Telecon	Telecon	Center Liaisons	June
	Transition Meeting	SSC	SSC/NSSC	July 25, 2006
	Transition Meeting	NSSC	PMO/NSSC/GRC/REI	August 1, 2006
	Transition Meeting	ARC	ARC/NSSC	August 9-11, 2006

## APPENDIX E – PROJECT PLAN

WBS	Task Name	Start	Finish	Date Completed	Resource Names
1	<b>NSSC Service Delivery Transition Activities</b>	12/31/04	9/29/09		
1.1	ORR 8 Procurement	10/2/06	10/2/06		
1.2	SBIRs & STTRs (Wave 1)	12/31/04	9/24/09		
1.2.1	<b>Project Management</b>	3/27/06	8/1/06		
1.2.1.1	<b>Develop Project Management Plan</b>	6/2/06	6/15/06		
1.2.1.1.1	Create and distribute draft	6/2/06	6/2/06	6/2/2006	Eric Johnsen/Vince Andres
1.2.1.1.2	Circulate Draft for Comment	6/5/06	6/13/06	6/13/2006	Eric Johnsen/Vince Andres
1.2.1.1.3	Revise/Approve and Post Final Edition	6/28/06	6/15/06	6/15/2006	Eric Johnsen/Vince Andres
1.2.1.2	<b>Develop Communication Plan</b>	4/24/06	6/23/06		
1.2.1.2.1	Create and distribute draft	4/24/06	5/5/06	5/5/2006	Vince Andres/Janet Kovac
1.2.1.2.2	Circulate Draft for Comment	5/8/06	6/16/06	6/16/2006	Vince Andres/Janet Kovac
1.2.1.2.3	Revise/Approve and Post Final Edition	6/19/06	6/23/06	6/23/2006	Vince Andres/Janet Kovac
1.2.1.3	<b>Develop Risk Management Plan</b>	5/1/06	8/4/06		
1.2.1.3.1	Create and distribute draft	5/1/06	6/2/06	6/2/2006	Vince Andres/Janet Kovac
1.2.1.3.2	Circulate Draft for Comment	6/5/06	6/27/06	6/27/2006	Vince Andres/Janet Kovac
1.2.1.3.3	Revise/Approve and Post Final Edition	6/28/06	8/4/06		Vince Andres/Janet Kovac
1.2.1.4	<b>Develop Transition Plan</b>	3/27/06	8/4/06		
1.2.1.4.1	Create and distribute draft	3/27/06	6/2/06	6/2/2006	Vince Andres/Janet Kovac
1.2.1.4.2	Circulate Draft for Comment	6/5/06	6/27/06	6/27/2006	Vince Andres/Janet Kovac
1.2.1.4.3	Revise/Approve and Post Final Edition	6/28/06	8/4/06		Vince Andres/Janet Kovac
1.2.2	<b>Communications</b>	11/29/05	10/2/06		
1.2.2.1	<b>Establish Customer Communications</b>	11/29/05	10/2/06		
1.2.2.1.1	Communicate with Centers/Stakeholders/Customers	11/29/05	10/2/06		Vince Andres/Janet Kovac
1.2.2.1.2	Define Center Liaison role	3/31/06	3/31/06	3/31/2006	Vince Andres/Janet Kovac
1.2.2.1.3	Distribute Quick Reference Guides	6/28/06	8/31/06		Vince Andres/Janet Kovac
1.2.2.1.4	Distribute Service Delivery Guides	6/28/06	7/26/06	7/26/2006	Vince Andres/Janet Kovac
1.2.2.1.5	Face-2-Face (Center Visit TBD or VITS – TBD)	9/7/06	9/29/06		Vince Andres/Janet Kovac
1.2.2.1.6	NSSC News Article	10/2/06	10/2/06		Vince Andres/Janet Kovac
1.2.3	<b>Hire Staff</b>	12/31/04	8/31/06		
1.2.3.1	Hire SP Employees	12/31/04	8/31/06		Janet Kovac
1.2.3.2	Hire CS Employees	1/2/06	8/31/06		Vince Andres
1.2.4	<b>Equip Staff</b>	8/31/06	8/31/06		
1.2.4.1	Assign Office Location	8/31/06	8/31/06		Vince Andres/Janet Kovac
1.2.4.2	Install Desktop computer and Access	8/31/06	8/31/06		Vince Andres/Janet Kovac
1.2.4.3	Validate Software needed	8/31/06	8/31/06		Vince Andres/Janet Kovac
1.2.4.4	Install Telephone	8/31/06	8/31/06		Vince Andres/Janet Kovac
1.2.4.5	Establish Access Permissions	8/31/06	8/31/06		Vince Andres/Janet Kovac
1.2.5	<b>Training</b>	1/3/06	9/29/09		
1.2.5.1	<b>Self Pace Training</b>	1/3/06	9/29/09		

1.2.5.1.1	NSSC Orientation	1/3/06	9/29/09		Jim Ong
1.2.5.1.2	SATERN IT/Security	1/3/06	9/29/09		Jim Ong
1.2.5.1.3	<b>SAP</b>	1/3/06	9/29/09		Jim Ong
1.2.5.1.3.1	General Curriculum	1/3/06	9/29/09		Jim Ong
1.2.5.1.3.2	CMM (TBD)	9/1/06	9/29/06		Jim Ong
1.2.5.1.3.3	General Curriculum	9/1/06	9/29/06		Jim Ong
1.2.5.2	<b>Instructor Led</b>	4/3/06	9/29/06		
1.2.5.2.2	FAR	4/3/06	9/29/06		Monique Sullivan
1.2.5.2.3	SAP Roles specific training	5/1/06	9/15/06		Monique Sullivan
1.2.5.3	<b>EHB OJT</b>	9/11/06	11/24/06		
1.2.5.3.1	Week 1	9/18/06	9/29/06		Karin Huth
1.2.5.3.2	Week 2	11/20/06	11/24/06		Karin Huth
1.2.6	<b>Establish Contact Center Support</b>	6/5/06	9/19/06		
1.2.6.1	Develop Job Aids and Frequently Asked Questions	7/26/06	8/8/06		Kathleen Moran
1.2.6.2	Identify CRM requirements	8/9/06	8/11/06		Art Askew, Eric Johnsen
1.2.6.3	Train staff on scripts, job aids and FAQ's	8/14/06	8/18/06		Art Askew
1.2.6.4	Add FAQ's to customer web	8/21/06	9/25/06		Art Askew
1.2.6.5	Develop Draft How Do I Questions	8/28/06	9/8/06		Kathleen Moran
1.2.6.6	Add How Do I Questions to customer web	9/11/06	9/12/06		Art Askew
1.2.6.7	Test System	9/12/06	9/12/06		Art Askew
1.2.7	<b>Establish IT Support</b>	3/28/06	8/31/06		
1.2.8	<b>Technology Infrastructure Build-Out</b>	5/1/06	8/31/06		
1.2.9	<b>Transfer Documentation</b>	1/4/06	9/8/06		
1.2.9.1	Identify/Locate/Quantify existing documentation	8/10/06	9/8/06		Vince Andres/Janet Kovac
1.2.9.2	Develop Document Process Flows	2/27/06	9/8/06		Vince Andres/Janet Kovac
1.2.9.3	Develop Labeling System (TechDoc)	2/27/06	5/12/06	5/12/2006	Vince Andres/Janet Kovac
1.2.9.4	Receive Test Data	5/1/06	5/1/06	5/1/2006	Vince Andres/Janet Kovac
1.2.9.5	Ship required document to NSSC	5/10/06	5/16/06	5/16/2006	Vince Andres/Janet Kovac
1.2.9.6	Receive Documents	5/16/06	5/23/06	5/23/2006	Vince Andres/Janet Kovac
1.2.9.7	Inventory/Process documents	1/4/06	5/12/06	5/12/2006	Vince Andres/Janet Kovac
1.2.9.8	Store Documents	1/4/06	5/12/06	5/12/2006	Vince Andres/Janet Kovac
1.2.10	<b>Create Detailed Desk Procedures</b>	8/1/06	9/8/06		
1.2.10.1	Create internal Process Guides	8/1/06	9/8/06		Eric Johnsen/Janet Kovac
1.2.10.2	Create Desktop procedures	8/1/06	9/8/06		Eric Johnsen/Janet Kovac
1.2.10.3	Create Contact Center Guidelines	8/1/06	9/8/06		Eric Johnsen/Janet Kovac
1.2.11	<b>Create Service Delivery Guide</b>	12/8/05	8/25/06		
1.2.11.1	Identify/Review existing process documentation	12/8/05	7/27/06		Eric Johnsen/Janet Kovac
1.2.11.2	Conduct Process Change Analysis	4/3/06	7/26/06	7/27/2006	Eric Johnsen/Janet Kovac
1.2.11.3	Refine and Document Processes and Work Flows for SBIR & STTR	4/3/06	7/26/06	7/27/2006	Eric Johnsen/Janet Kovac
1.2.11.4	Create and post Draft for review for SBIR & STTR	6/27/06	7/26/06	7/27/2006	Eric Johnsen/Janet Kovac
1.2.11.5	Revise/Approve and Post Final Edition for SBIR & STTR	6/28/06	8/25/06		Eric Johnsen/Janet Kovac

1.2.12	<b>Modify Quick Reference Guide SBIR &amp; STTR</b>	1/27/06	8/31/06		
1.2.12.2	Create and post Draft for review	6/28/06	7/26/06	7/26/2006	Eric Johnsen/Janet Kovac
1.2.12.3	Circulate to appropriate stakeholders for comment	6/28/06	7/26/06	7/26/2006	Eric Johnsen/Janet Kovac
1.2.12.4	Revise/Approve and post Final Edition	7/26/06	8/31/06		
1.2.13	<b>Modify NSSC External Web Site</b>	5/5/06	8/31/06		
1.2.14	<b>Modify NSSC Internal Web Site</b>	2/28/06	10/2/06		
1.2.15	<b>Establish Reporting and Metrics</b>	9/1/06	10/2/06		
1.2.15.1	Determine performance metrics	9/1/06	9/8/06		Matt Drudy
1.2.15.2	Review Contract Requirements and SLA's	9/8/06	9/12/06		Matt Drudy
1.2.15.3	Modify Performance Metric Plan	9/14/06	9/19/06		Matt Drudy
1.2.15.4	Complete Metrics Inventory Template	9/12/06	9/14/06		Matt Drudy
1.2.15.5	Establish performance measures/sources/analyses	9/19/06	9/21/06		Matt Drudy
1.2.15.6	Develop reports	9/27/06	9/28/06		Matt Drudy
1.2.15.7	Conduct dry run	9/29/06	10/2/06		Matt Drudy
1.2.16	<b>Conduct Operational Readiness Reviews (ORR#8)</b>	9/1/06	10/2/06		
1.2.16.1	Conduct dry Run with SP	9/1/06	9/1/06		Vince Andres
1.2.16.2	Conduct Preliminary ORR	9/19/06	9/19/06		Kenneth Newton
1.2.16.3	Conduct Final ORR	9/26/06	9/26/06		Kenneth Newton
1.2.16.4	Review/Approve Operational Readiness	9/26/06	9/26/06		
1.2.16.5	Move to Operational Status -- Initiate Processing	10/2/06	10/2/06		
1.2.17	<b>Modify a Go Live Stabilization Checklist</b>	10/2/06	10/3/06		
1.2.17.1	Add to checklist	10/2/06	10/4/06		
1.2.17.2	Create vital signs	10/2/06	10/3/06		Janet Kovac
1.2.17.3	Go-Live	10/2/06	10/2/06		Janet Kovac
	<b>Wave I Centers / SBIR 2006 Phase 1 Contract Negotiations</b>	11/20/06	1/19/07		
	Ames Research Center (ARC)	11/20/06	1/19/07		
	Dryden Flight Research Center (DFRC)	11/20/06	1/19/07		
	Goddard Space Flight Center/Wallops (GSFC)	11/20/06	1/19/07		
	Stennis Space Center (SSC)	11/20/06	1/19/07		
	<b>Wave I Centers / SBIR 2006 Phase 2 Contract Negotiations</b>	10/2/07	11/30/07		
	Ames Research Center (ARC)	10/2/07	11/30/07		
	Dryden Flight Research Center (DFRC)	10/2/07	11/30/07		
	Goddard Space Flight Center/Wallops (GSFC)	10/2/07	11/30/07		
	Stennis Space Center (SSC)	10/2/07	11/30/07		

<b>Wave I Centers / STTR 2006 Phase 1 Contract Negotiations</b>	11/20/06	1/19/07
Ames Research Center (ARC)	11/20/06	1/19/07
Dryden Flight Research Center (DFRC)	11/20/06	1/19/07
Goddard Space Flight Center/Wallops (GSFC)	11/20/06	1/19/07
Stennis Space Center (SSC)	11/20/06	1/19/07
<b>Wave I Centers / STTR 2006 Phase 2 Contract Negotiations</b>	4/2/08	5/20/08
Ames Research Center (ARC)	4/2/08	5/20/08
Dryden Flight Research Center (DFRC)	4/2/08	5/20/08
Goddard Space Flight Center/Wallops (GSFC)	4/2/08	5/20/08
Stennis Space Center (SSC)	4/2/08	5/20/08
<b>Wave II Centers / SBIR 2007 Phase 1 Contract Negotiations</b>	11/19/07	1/18/08
Marshall Space Flight Center (MSFC)	11/19/07	1/18/08
Glenn Research Center (GRC)	11/19/07	1/18/08
Johnson Space Center/ White Sands (JSC)	11/19/07	1/18/08
Kennedy Space Center (KSC)	11/19/07	1/18/08
Langley Research Center (LaRC)	11/19/07	1/18/08
Jet Propulsion Laboratory (NMO/JPL)	11/19/07	1/18/08
<b>Wave II Centers / SBIR 2007 Phase 2 Contract Negotiations</b>	9/30/08	11/28/08
Marshall Space Flight Center (MSFC)	9/30/08	11/28/08
Glenn Research Center (GRC)	9/30/08	11/28/08
Johnson Space Center/ White Sands (JSC)	9/30/08	11/28/08
Kennedy Space Center (KSC)	9/30/08	11/28/08
Langley Research Center (LaRC)	9/30/08	11/28/08
Jet Propulsion Laboratory (NMO/JPL)	9/30/08	11/28/08
<b>Wave II Centers / STTR 2007 Phase 1 Contract Negotiations</b>	11/19/07	1/18/08
Marshall Space Flight Center (MSFC)	11/19/07	1/18/08
Glenn Research Center (GRC)	11/19/07	1/18/08
Johnson Space Center/ White Sands (JSC)	11/19/07	1/18/08
Kennedy Space Center (KSC)	11/19/07	1/18/08
Langley Research Center (LaRC)	11/19/07	1/18/08
Jet Propulsion Laboratory (NMO/JPL)	11/19/07	1/18/08
<b>Wave II Centers / STTR 2007 Phase 2 Contract Negotiations</b>	4/1/09	5/19/09
Marshall Space Flight Center (MSFC)	4/1/09	5/19/09
Glenn Research Center (GRC)	4/1/09	5/19/09
Johnson Space Center/ White Sands (JSC)	4/1/09	5/19/09
Kennedy Space Center (KSC)	4/1/09	5/19/09



Langley Research Center (LaRC)	4/1/09	5/19/09
Jet Propulsion Laboratory (NMO/JPL)	4/1/09	5/19/09
<b>Wave I Financial Management</b>	11/1/07	11/1/07
<b>Transition</b>		
Stennis Space Center (SSC)	11/1/07	11/1/07
Marshall Space Flight Center (MSFC)	11/1/07	11/1/07
Glenn Research Center (GRC)	11/1/07	11/1/07
Johnson Space Center/ White Sands (JSC)	11/1/07	11/1/07
Jet Propulsion Laboratory (NMO/JPL)	11/1/07	11/1/07
<b>Wave II Financial Management</b>	1/1/08	1/1/08
<b>Transition</b>		
Ames Research Center (ARC)	1/1/08	1/1/08
Dryden Flight Research Center (DFRC)	1/1/08	1/1/08
Kennedy Space Center (KSC)	1/1/08	1/1/08
Langley Research Center (LaRC)	1/1/08	1/1/08
<b>Wave II Financial Management</b>	3/1/08	3/1/08
<b>Transition</b>		
Goddard Space Flight Center/Wallops (GSFC)	3/1/08	3/1/08
Headquarters (HQ)	3/1/08	3/1/08